

09-21-01

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PTO/SB/06 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	5000-1-211
First Inventor	Young-Hoon JOO
Title	Bidirectional WDM Add/Drop ...
Express Mail Label No.	EL 806483192 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Free Transmittal Form (e.g., PTO/SB/17)
(Submit one original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 19]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration Executed [Total Pages 2]
- a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney]
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. _____

Prior application information

Examiner

Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

19. CORRESPONDENCE ADDRESS
☒ Customer Number or Bar Code Label
or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Steve Cha

Registration No. (Attorney/Agent)

44,069

Signature

Date

Sept. 20, 2001

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

J0965 U.S. PTO
09/20/01

09/20/01

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number
Filing Date September 20, 2001
First Named Inventor Young-Hoon JOO
Examiner Name
Group Art Unit
Attorney Docket No 5000-1-211

TOTAL AMOUNT OF PAYMENT (\$ 750.00)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number 11-1153
Deposit Account Name KLAUBER & JACKSON

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
101 710 201 355	Utility filing fee		710.00
106 320 206 160	Design filing fee		
107 490 207 245	Plant filing fee		
108 710 208 355	Reissue filing fee		
114 150 214 75	Provisional filing fee		

SUBTOTAL (1) (\$ 710.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	20+* =	X	
9	20+* = 0	X	
Multiple Dependent	3-*** =	X	
3	3-*** = 0	X	

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9	Claims in excess of 20	
102 80 202 40	Independent claims in excess of 3	
104 270 204 135	Multiple dependent claim, if not paid	
109 80 209 40	** Reissue independent claims over original patent	
110 18 210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 710.00)

*or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
105 130 205 65	Surcharge - late filing fee or oath		
127 50 227 25	Surcharge - late provisional filing fee or cover sheet		
139 130 139 130	Non-English specification		
147 2,520 147 2,520	For filing a request for <i>ex parte</i> reexamination		
112 920* 112 920*	Requesting publication of SIR prior to Examiner action		
113 1,840* 113 1,840*	Requesting publication of SIR after Examiner action		
115 110 215 55	Extension for reply within first month		
116 390 216 195	Extension for reply within second month		
117 890 217 445	Extension for reply within third month		
118 1,390 218 695	Extension for reply within fourth month		
126 1,890 228 945	Extension for reply within fifth month		
119 310 219 155	Notice of Appeal		
120 310 220 155	Filing a brief in support of an appeal		
121 270 221 135	Request for oral hearing		
138 1,510 138 1,510	Petition to institute a public use proceeding		
140 110 240 55	Petition to revive - unavoidable		
141 1,240 241 620	Petition to revive - unintentional		
142 1,240 242 620	Utility issue fee (or reissue)		
143 440 243 220	Design issue fee		
144 600 244 300	Plant issue fee		
122 130 122 130	Petitions to the Commissioner		
123 50 123 50	Processing fee under 37 CFR 1.17(a)		
126 180 126 180	Submission of Information Disclosure Sheet		
581 40 581 40	Recording each patent assignment per property (times number of properties)		40.00
146 710 246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		
149 710 249 355	For each additional invention to be examined (37 CFR § 1.129(b))		
179 710 279 355	Request for Continued Examination (RCE)		
169 900 169 900	Request for expedited examination of a design application		
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 750.00)

SUBMITTED BY

Name (Print/Type) Steve Cha
Signature

Registration No. (Attorney/Agent) 44,069

Complete if applicable

Telephone 201-487-5800
Date September 20, 2001

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